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March 20, 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL OF SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Patent Application No. 10/786,942 filed February 24, 2004  
Applicant: James R. Wilson  
Title: **SYSTEM & METHOD FOR ASSESSING A SUPPLIER'S  
COMPLIANCE WITH A CUSTOMER'S CONTRACT TERMS,  
CONDITIONS, AND APPLICABLE REGULATIONS**  
Group Art Unit: 3624  
Attorney Docket No.: 01757-22037.NP

Sir/Madam:

Transmitted herewith for filing and pursuant to 37 C.F.R. §§ 1.56 and 1.97 is a Supplemental Information Disclosure Statement. Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- ☒ Form PTO/SB/08A list of 3 references submitted for consideration.
- ☐ Legible copies of the listed non-patent documents, unpublished U.S. applications and foreign documents or their relevant portions are included.
- ☐ All English translations of each non-English reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- ☐ Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

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8180 South 700 East • Suite 350 • Sandy, Utah 84070-0562 • 801.566.6633 • f. 801.566.0750 • patlaw@tnw.com | U.S. Mailing Address: P.O. Box 1219 • Sandy, Utah 84091-1219

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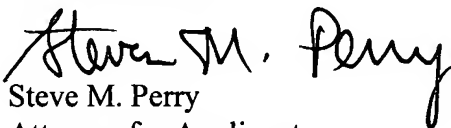
- ☐ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- ☐ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in prior application no. \_\_\_\_\_, filed on \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ☐ Statement under 37 C.F.R. § 1.97(e)(1) or (2).
- ☐ Check No. \_\_\_\_\_, which includes the amount of \$\_\_\_\_\_ (amount in § 1.17(p)) constituting the submission fee set forth in 37 C.F.R. § 1.17(p).

In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Statement meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 20-0100 of the undersigned.

Very truly yours,



Steve M. Perry  
Attorney for Applicant  
Registration No. 45,357

THORPE NORTH & WESTERN, LLP  
Customer No. 20,551  
P.O. Box 1219  
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SP/st



IN THE UNITED STATES PATENT & TRADEMARK OFFICE

ART UNIT: 3624

EXAMINER:

APPLICANT: JAMES R. WILSON

SERIAL NO.: 10/786,942

FILED: 2/24/2004

CONFRM. NO.: 3801

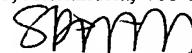
FOR: SYSTEM & METHOD FOR  
ASSESSING A SUPPLIER'S  
COMPLIANCE WITH A  
CUSTOMER'S CONTRACT TERMS,  
CONDITIONS, AND APPLICABLE  
REGULATIONS

DOCKET NO.: 01757-22037.NP

**CERTIFICATE OF MAILING**  
**UNDER 37 C.F.R. § 1.8**

DATE OF DEPOSIT: March 22, 2007

I hereby certify that this paper or fee (along with any paper or fee referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail on the date indicated above and is addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Stacia Pentz

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.97**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir/Madam:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form **PTO/SB/08A** which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). Applicant respectfully submits that this Information Disclosure statement is filed pursuant to:

☒ 37 C.F.R. § 1.97(b)(1), (3) or (4), within three months of the filing date of the application or request for RCE, or before a first office action on the merits, whichever occurs last;

a statement in accordance with 37 C.F.R. § 1.97(e), or 2) the fee set forth in 37 C.F.R. § 1.17(p);  
or

☐ 37 C.F.R. § 1.97(d), after a Final Office Action or Notice of Allowance,  
whichever occurs first, but on or before payment of the issue fee, and is accompanied by both 1)  
a statement in accordance with 37 C.F.R. § 1.97(e), and 2) the fee set forth in 37 C.F.R. §  
1.17(p).

While no representation is made that any of these references may be “prior art” within the  
meaning of that term in accordance with 37 C.F.R. §§ 102 or 103, the enclosed list of references  
is disclosed so as to comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent  
office records has been conducted or that no better art exists, the undersigned attorney of record  
believes that the references listed, together with any other references which may have been  
previously submitted or listed, are the closest to the claimed invention (taken in its entirety) of  
which the undersigned is presently aware, and no art which is closer to the claimed invention  
(taken in its entirety) has been knowingly withheld.

☐ A legible copy of each of the listed non-patent literature, unpublished U.S.  
applications and foreign documents or their relevant portions is enclosed.

☐ Copies of the references listed in the accompanying Form PTO/SB/08A and  
PTO/SB/08B are NOT enclosed because, under 37 C.F.R. § 1.98.(d), they were previously cited  
by or submitted to the Office in application number \_\_\_\_\_, which is relied upon for  
an earlier filing date under 37 C.F.R. § 1.20.

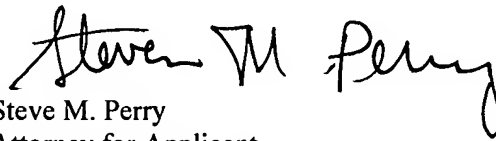
For all listed references that are not either in the English language, or accompanied by a translation into English, a concise explanation of relevance as required under 37 C.F.R. §

1.98(a)(3) is enclosed attached to each.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or to credit any overpayment to Deposit Account No. 20-0100.

Dated March 24, 2007.

Very truly yours,

A handwritten signature in black ink that reads "Steve M. Perry". The signature is fluid and cursive, with the first name "Steve" and last name "Perry" being clearly legible, and "M." as a middle initial.

Steve M. Perry  
Attorney for Applicant  
Registration No. 45,357

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Enclosures

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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

**Complete if Known**

Application Number	10/786,942
Filing Date	02/24/04
First Named Inventor	James Wilson
Art Unit	3624
Examiner Name	
Attorney Docket Number	01757-22037.NP

Sheet 1 of 1

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature	Date Considered
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.**